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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/730,547	12/07/2000	Karim Nathoo	77666-6 /pw	9341

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SMART & BIGGAR/FETHERSTONHAUGH & CO.
P.O. BOX 2999, STATION D
900-55 METCALFE STREET
OTTAWA, ON K1P5Y6
CANADA

EXAMINER

FIELDS, COURTNEY D

ART UNIT	PAPER NUMBER
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2137

DATE MAILED: 10/05/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/730,547

Applicant(s)

NATHOO ET AL.

Examiner

Courtney D. Fields

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 07 December 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-55 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-55 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) *
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date 16 March 2001.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

Specification

1. Applicant is reminded of the proper language and format for an abstract of the disclosure.

The abstract should be in narrative form and generally limited to a single paragraph on a separate sheet within the range of **50 to 150 words**. It is important that the abstract not exceed 150 words in length since the space provided for the abstract on the computer tape used by the printer is limited. The form and legal phraseology often used in patent claims, such as "means" and "said," should be avoided. The abstract should describe the disclosure sufficiently to assist readers in deciding whether there is a need for consulting the full patent text for details.

The language should be clear and concise and should not repeat information given in the title. It should avoid using phrases which can be implied, such as, "The disclosure concerns," "The disclosure defined by this invention," "The disclosure describes," etc.

The abstract contains **273 words**. Correction is required.

2. The disclosure is objected to because it contains an embedded hyperlink and/or other form of browser-executable code. Applicant is required to delete the embedded hyperlink and/or other form of browser-executable code. See MPEP § 608.01.

See page 7, lines 1 and 4.

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-4, 12-13, 18-23, 31-32, 37-39, 43-46, 48-49, and 52 are rejected under 35 U.S.C. 102(e) as being anticipated by Asad et al. (U.S. Patent No. 6, 725, 240).

Referring to the rejection of claims 1, 37, and 46, Asad et al. discloses a method of performing remote notification of records each having a respective record identifier, the method comprising: maintaining a record-user mapping which associates with each of a plurality of record identifiers a respective one or more user names, for each record upon which remote notification is to be performed obtaining the record's record identifier's respective one or more user names from the record-user mapping, for each user name in the record's record identifier's respective one or more user names obtaining from a user name-addressable entity mapping a respective addressable entity and sending a notification of the record to the addressable entity in Column 5, lines 19-67, Column 6, lines 1-12, 22-45, Column 7, lines 29-67, Column 8, lines 1-26 and Figures 4 and 5. As per claims 2, 21, 38, and 48, Asad et al. discloses the claimed limitation wherein maintaining the user name-addressable entity mapping from each user name to the respective addressable entity in Column 8, lines 7-15.

As per claims 3 and 22, Asad et al. discloses the claimed limitation wherein the user name-addressable entity mapping is a trusted mapping in Column 8, lines 16-26.

As per claims 4, 23, 39, and 49, Asad et al. discloses the claimed limitation wherein perform remote notification of records generated by a certificate management system, wherein obtaining from a user name-addressable entity mapping a respective addressable entity comprises obtaining a respective addressable entity from a

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respective certificate stored in a repository of published certificates in Column 5, lines 30-33.

As per claims 12,31,43, and 52, Asad et al. discloses the claimed limitation wherein obtaining a new set of records for processing from time to time, and conducting for each record in the new set of records in Column 6, lines 23-32, Column 11, lines 45-55.

As per claims 13 and 32, Asad et al. discloses the claimed limitation wherein storing record reading parameters (API) which determine circumstances under which the new set of records for processing is to be obtained, and obtaining the new set of records for processing in accordance with the record reading parameters in Column 7, lines 4-20.

As per claims 18-20, 44, and 45, Asad et al. discloses the claimed limitation wherein identifying at least one record identifier for which target audit record processing is to be performed, the target audit record processing comprising: for each record identifier for which target audit record processing is to be performed reading from the associated record a target user name, obtaining from the user name-addressable entity mapping a respective addressable entity for the target user name and sending a notification of the record to the addressable entity in Column 8, lines 53-67, Column 9, lines 1-27.

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 5-11,14-17,24-30, 33-36,40-42,47,50-51, and 53-55 are rejected under 35 U.S.C. 103(a) as being unpatentable over Asad et al. in view of Bisbee et al. (U.S. Patent No. 6,367,013). As per claims 1, 20,37, and 46, Asad et al. discloses the invention as claimed above. However, Asad et al. does not explicitly disclose the usage of a certificate management system. As per claims 5,24,40, and 50, Bisbee et al. discloses the claimed limitation wherein the certificate management system comprises a PKI (Public Key Infrastructure) in Column 3, lines 15-28, Column 9, lines 57-60, Column 11, lines 45-54, Column 12, lines 21-29.

As per claims 6,25,26,41, and 47, Bisbee et al. discloses the claimed limitation wherein maintaining the repository of published certificates in which is stored for each of a plurality of a user names the respective certificate in which is identified the respective addressable entity in Column 10, lines 58-64, Column 11, lines 37-41, Column 23, lines 56-65, Column 24, lines 7-28.

As per claims 7,27,42, and 51, Bisbee et al. discloses the claimed limitation wherein the addressable entity is an E-mail address in Column 3, lines 5-7.

As per claims 8 and 28, Bisbee et al. discloses the claimed limitation wherein each user name is a distinguished name in accordance with X.500 in Column 12, lines 4-14.

As per claims 9,10, and 29, Bisbee et al. discloses the claimed limitation wherein the repository of published certificates is maintained in accordance with the X.500 series of recommendations in Column 2, lines 46-52, Column 3, lines 8-15.

As per claims 11 and 30, Bisbee et al. discloses the claimed limitation wherein storing the respective addressable entity in a certificate extension field of the certificate

comprises storing the respective addressable entity in a subject alternative name extension in Column 3, lines 8-14.

As per claims 14,15,33 and 34, Bisbee et al. discloses the claimed limitation wherein comprising protecting each notification message by encryption and/or digital signature in Column 2, lines 46-67, Column 3, lines 1-7.

As per claims 16 and 35, Bisbee et al. discloses the claimed limitation wherein verifying authenticity of the respective certificate before sending the notification to the addressable entity obtained from the respective certificate in Column 13, lines 25-47.

As per claims 17 and 36, Bisbee et al. discloses the claimed limitation wherein maintaining an identification of a language of choice for each user name, before sending a notification to an addressable entity obtained for a particular user name, determining the particular user name's language of choice and including a translation of text in the notification message into the language of choice in Column 9, lines 6-22.

As per claims 53-55, Bisbee et al. discloses the claimed limitation wherein instructions stored thereon for instructing a processing platform to implement a method in Column 9, lines 6-18.

Therefore it would have obvious to a person having ordinary skill in the art at the time the invention was made to modify Asad's audit record system by combining Bisbee's secure audit tracking system using public key cryptography. This will ensure the validity of an audit (e-original document) with a trusted date-time stamp, a digital signature and authentication certificate. (See Bisbee, Column 4, lines 33-42)

Conclusion

5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Tumblin et al. (U.S. Patent No. 6,490,679) discloses a seamless integration of application programs with security key infrastructure.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Courtney D. Fields whose telephone number is 571-272-3871. The examiner can normally be reached on Mon - Wed. 6:00 - 6:00 pm; Thur. 6:00 - 10 am.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Caldwell can be reached on 571-272-3868. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

cd

cdf

September 26, 2004

Matthew D. Smithers
MATTHEW SMITHERS
PRIMARY EXAMINER
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